Executive Branch Personnel
Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Sharpless, Norman E

NCI Director, Department of Health & Human Services

Date of Appointment: 10/16/2017

Other Federal Government Positions Held During the Preceding 12 Months:

Member, National Advisory Council on Aging (NIH/NIA) (1/2016 - Present) See endnote

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Sharpless, Norman E [electronically signed on 06/30/2017 by Sharpless, Norman E in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).
/s/ Hall, Randall, Certifying Official [electronically signed on 10/18/2017 by Hall, Randall in Integrity.gov]

Other review conducted by
/s/ Hall, Randall, Ethics Official [electronically signed on 10/18/2017 by Hall, Randall in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 10/18/2017

Data Revised 08/10/2017

Data Revised 08/07/2017

Data Revised 07/31/2017

Data Revised 07/26/2017

Data Revised 07/17/2017

Data Revised 07/15/2017

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(10/18/2017, Hall, Randall): Initial Review by Gretchen Weaver on 7/12/2017 as part of the pre-appointment review process.

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The University of North Carolina School of Medicine		Chapel Hill, North Carolina	University/College	Director, Cancer Center	1/2014	Present
2	G1 Therapeutics		Durham, North Carolina	Corporation	Consultant	8/2012	6/2017
3	HealthSpan Diagnostics		Durham, North Carolina	Corporation	Founder and Board Member	7/2014	Present
4	St Judes		Memphis, Tennessee	University/College	External Advisory Board Member	1/2016	Present
5	Thomas Jefferson University Cancer Center		Philadelphia, Pennsylvania	University/College	External Advisory Board Member	1/2014	Present
6	MD Anderson Cancer Center		Houston, Texas	University/College	External Advisory Board Member	1/2014	Present
7	Unity Biotechnology	See Endnote	Brisbane, California	Corporation	Consultant	1/2017	Present
8	Wake Forest Comprehensive Cancer Center		Winston-Salem, North Carolina	University/College	External Advisory Board Member	1/2014	Present
9	American Society of Clinical Investigation	See Endnote	Ann Arbor, Michigan	Non-Profit	Associate Editor	7/2012	6/2017
10	Harvard Medical School		Boston, Massachusetts	University/College	Member, Tenure Committee	1/2016	2/2016
11	Damon Runyon Cancer Research Foundation		New York, New York	Non-Profit	Member, Advisory Board	11/2013	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
12	Glenn Foundation-American Federation of Aging		New York, New York	Non-Profit	Chair, Advisory Board	8/2014	9/2016
13	Adenoid Cystic Carcinoma Research Foundation	See Endnote	Needham, Massachusetts	Non-Profit	Member, Advisory Board	1/2005	Present

2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	The University of North Carolina School of Medicine		N/A		Salary	$605,000
2	G1 Therapeutics, stock options		N/A	$1,000,001 - $5,000,000		None (or less than $201)
3	G1 Therapeutics		N/A		Salary	$123,750
4	G1 Therapeutics		N/A	$5,000,001 - $25,000,000		None (or less than $201)
5	HealthSpan Diagnostics	See Endnote	N/A	$15,001 - $50,000		None (or less than $201)
6	St Jude Children's Research Hospital		N/A		For service on external advisory board	$2,500
7	Thomas Jefferson University Cancer Center		N/A		For service on external advisory board	$1,000
8	MD Anderson Cancer Center		N/A		For service on external advisory board	$3,000
9	Wake Forest Comprehensive Cancer Center		N/A		For service on external advisory board	$3,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	American Society of Clinical Investigation	See Endnote	N/A		Salary	$5,999
11	Harvard Medical School - 2/5 to 2/12 2016		N/A		For serving on tenure and promotions committee	$500
12	Damon Runyon Cancer Research Foundation		N/A		For serving on advisory board	$2,000
13	University of North Carolina	See Endnote	N/A	None (or less than $1,001)	Rent or Royalties	$2,501 - $5,000
14	Unity Biotechnology	See Endnote	N/A	$15,001 - $50,000		None (or less than $201)
15	Memorial Sloan Kettering - 5/14/2017		N/A		Speaking Honorarium	$300
16	Pfizer - Boston Meeting - 4/19/2016		N/A		Speaking Honorarium	$4,000
17	University of Pittsburgh - 5/23/2016		N/A		Speaking Honorarium	$1,000
18	University of Texas Southwestern - 2/10/2016		N/A		Speaking Honorarium	$500
19	Aspen Cancer Conference - 7/16/2016		N/A		Speaking Honorarium	$1,000
20	Dana Farber Cancer Institute - 2/23/2016		N/A		Speaking Honorarium	$1,000
21	Emory School of Medicine - 1/31/2017		N/A		Speaking Honorarium	$1,000
22	Traditional IRA		No			
22.1	JP Morgan Chase Alerian MLP Index ETN		Yes	$15,001 - $50,000		$1,001 - $2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.2	iShares S&P 500 ETF (IVV)	Yes	$1,001 - $15,000		None (or less than $201)
23	SEP-IRA	No			
23.1	JP Morgan Chase Alerian MLP Index ETN (AMJ)	Yes	$1,001 - $15,000		None (or less than $201)
23.2	iShares MSCI Frontier 100 ETF (FM)	Yes	$15,001 - $50,000		$201 - $1,000
23.3	Vanguard Short-Term Inflation Protected Securities ETF (VTIP)	Yes	$1,001 - $15,000		None (or less than $201)
24	University of North Carolina, Chapel Hill 403(b)	No			
24.1	Vanguard Total International Stock Index Fund Institutional (VTSNX)	Yes	$1,001 - $15,000		$201 - $1,000
24.2	Vanguard Extended Market Index Fund Institutional Plus (VEMPX)	Yes	$1,001 - $15,000		None (or less than $201)
24.3	Cohen & Steers Realty Fund (CSRSX)	Yes	$1,001 - $15,000		None (or less than $201)
24.4	Vanguard Institutional Index Plus (VIIIX)	Yes	$15,001 - $50,000		$201 - $1,000
24.5	Vanguard Total Bond Market Institutional (VBTIX)	Yes	$1,001 - $15,000		$201 - $1,000
24.6	Vanguard Short Term Bond Index Institutional (VBITX)	Yes	$1,001 - $15,000		None (or less than $201)
24.7	DFA US Large Cap Value Fund (DFLVX)	Yes	$100,001 - $250,000		$5,001 - $15,000
24.8	Gateway Fund (GTEYX)	Yes	$100,001 - $250,000		$1,001 - $2,500
24.9	Vanguard Short Term Investment Grade (VFSUX)	Yes	$15,001 - $50,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25	University of North Carolina Faculty & Physicians 403(b)	No			
25.1	Cohen and Steers Realty Shares (CSRSX)	Yes	None (or less than $1,001)		None (or less than $201)
25.2	DFA Emerging Markets Core Equity Fund (DFCEX)	Yes	$15,001 - $50,000		$201 - $1,000
25.3	DFA Five-Year Global Fixed Income (DFGBX)	Yes	$50,001 - $100,000		$1,001 - $2,500
25.4	DFA US Large Cap Value (DFLVX)	Yes	$50,001 - $100,000		$1,001 - $2,500
25.5	Vanguard 500 Index Admiral (VFIAX)	Yes	$1,001 - $15,000		None (or less than $201)
25.6	Vanguard Extended Market Index Admiral (VEXAX)	Yes	$1,001 - $15,000		None (or less than $201)
25.7	Vanguard Short-Term Bond Index Admiral (VBIRX)	Yes	$1,001 - $15,000		None (or less than $201)
25.8	Vanguard Total Bond Market Index Admiral (VBTLX)	Yes	$1,001 - $15,000		None (or less than $201)
25.9	Vanguard Total International Stock Index Admiral (VTIAX)	Yes	$1,001 - $15,000		None (or less than $201)
26	University of North Carolina Faculty & Physicians 457(b)	No			
26.1	Cohen & Steers Realty Shares (CSRSX)	Yes	$1,001 - $15,000		None (or less than $201)
26.2	DFA US Large Cap Value (DFLVX)	Yes	$50,001 - $100,000		$2,501 - $5,000
26.3	Vanguard 500 Index Admiral (VFIAX)	Yes	$15,001 - $50,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.4	Vanguard Extended Market Index Admiral (VEXAX)	Yes	$1,001 - $15,000		None (or less than $201)
26.5	Vanguard Short-Term Bond Index Admiral (VBIRX)	Yes	$1,001 - $15,000		None (or less than $201)
26.6	Vanguard Total Bond Market Index Admiral (VBTLX)	Yes	$1,001 - $15,000		$201 - $1,000
26.7	Vanguard Total International Stock Index Admiral (VTIAX)	Yes	$1,001 - $15,000		$201 - $1,000
27	University of North Carolina Optional Retirement Plan	No			
27.1	Cohen & Steers Realty Shares (CSRSX)	Yes	$1,001 - $15,000		None (or less than $201)
27.2	DFA Global Real Estate Securities Portfolio (DFGEX)	Yes	$100,001 - $250,000		$5,001 - $15,000
27.3	DFA US Large Cap Value (DFLVX)	Yes	$50,001 - $100,000		$2,501 - $5,000
27.4	Gateway (GTEYX)	Yes	$15,001 - $50,000		$201 - $1,000
27.5	Vanguard Extended Market Index Institutional Plus (VEMPX)	Yes	$100,001 - $250,000		$1,001 - $2,500
27.6	Vanguard Institutional Index Institutional Plus (VIIIX)	Yes	$100,001 - $250,000		$1,001 - $2,500
27.7	Vanguard Short-Term Bond Index Institutional (VBITX)	Yes	$15,001 - $50,000		$201 - $1,000
27.8	Vanguard Total Bond Market Institutional (VBTIX)	Yes	$15,001 - $50,000		$201 - $1,000
27.9	Vanguard Total International Stock Index Institutional (VTSNX)	Yes	$15,001 - $50,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.10	Vanguard Extended Market Index Institutional (VIEIX)	Yes	None (or less than $1,001)		$1,001 - $2,500
27.11	Vanguard Institutional Index (VINIX)	Yes	None (or less than $1,001)		$1,001 - $2,500
28	University of North Carolina at Chapel Hill Physicians and Associates 457 - Valic	No			
28.1	Valic Core Equity Fund	Yes	$1,001 - $15,000		$1,001 - $2,500
28.2	Valic Growth Fund	Yes	$1,001 - $15,000		$201 - $1,000
28.3	Valic Stock Index Fund	Yes	$1,001 - $15,000		$201 - $1,000
28.4	Vanguard Windsor II Fund	Yes	$1,001 - $15,000		$201 - $1,000
28.5	Valic Mid Cap Value Fund	Yes	$1,001 - $15,000		$201 - $1,000
28.6	Valic Small Cap Fund	Yes	$1,001 - $15,000		$201 - $1,000
28.7	Valic Small Cap Special Value Fund	Yes	$1,001 - $15,000		$201 - $1,000
28.8	Valic Foreign Value	Yes	$1,001 - $15,000		$201 - $1,000
28.9	Valic Capital Conservation	Yes	$1,001 - $15,000		None (or less than $201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	The University of North Carolina School of Medicine	Chapel Hill, North Carolina	I will resign from UNC upon starting at NCI. The employer will not make retirement contributions when I leave	9/2002
2	G1 Therapeutics	Durham, North Carolina	I will exercise vested options and liquidate these shares. I will forfeit unvested options. These changes will occur upon my resignation	1/2011

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	Unity Biotechnology	Brisbane, California	I will exercise vested options and liquidate these shares. I will forfeit the unvested options open resignation.	1/2017
4	University of North Carolina 403b	Chapel Hill, North Carolina	No contributions will be made after separation from UNC.	9/2002
5	University of North Carolina Faculty and Physicians 403b	Chapel Hill, North Carolina	No contributions will be made after separation from UNC.	9/2002
6	University of North Carolina Faculty and Physicians 457(b)	Chapel Hill, North Carolina	No contributions will be made after separation from UNC.	9/2002
7	University of North Carolina Optional Retirement Plan (401a)	Chapel Hill, North Carolina	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	9/2002
8	HealthSpan Diagnostics	Durham, North Carolina	I will liquidate my equity open resignation. The company has repaid to me the balance of an outstanding personal loan from me to the company ($12,400)	7/2014

4. Filer's Sources of Compensation Exceeding $5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	The University of North Carolina School of Medicine	Chapel Hill, North Carolina	Cancer Center Director and Physician
2	G1 Therapeutics	Durham, North Carolina	Chair of the Scientific Advisory Board
3	American Society of Clinical Investigation	Ann Arbor, Michigan	Associate Editor of the Journal of Clinical Investigation
4	Unity Biotechnology	Brisbane, California	Consultant

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	The University of North Carolina School of Medicine	N/A		salary	
2	TIAA Traditional Retirement Annuity	N/A	$15,001 - $50,000	Interest	$1,001 - $2,500
3	Individual Retirement Account (Fidelity)	No			
3.1	iShares MSCI Frontier 100 ETF (FM)	Yes	$15,001 - $50,000		$201 - $1,000
3.2	JP Morgan Alerian MLP ETN (AMJ)	Yes	$50,001 - $100,000		$5,001 - $15,000
3.3	Osterweis Strategic Income (OSTIX)	Yes	$15,001 - $50,000		$1,001 - $2,500
3.4	Vanguard Short-Term Inflation-Protected Securities ETF (VTIP)	Yes	$1,001 - $15,000		None (or less than $201)
4	University of North Carolina 403b	No			
4.1	Cohen & Steers Realty Shares (CSRSX)	Yes	$1,001 - $15,000		None (or less than $201)
4.2	DFA International Core Equity (DFIEX)	Yes	$100,001 - $250,000		$5,001 - $15,000
4.3	Osterweis Strategic Income (OSTIX)	Yes	$15,001 - $50,000		$1,001 - $2,500
4.4	Vanguard Extended Market Index InstlPlus (VEMPX)	Yes	$1,001 - $15,000		None (or less than $201)
4.5	Vanguard Institutional Index Pl (VIIIX)	Yes	$15,001 - $50,000		$201 - $1,000
4.6	Vanguard Short Term Bond Index I (VBITX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.7	Vanguard Short-Term Infl-Prot Sec Idx Adm (VTAPX)	Yes	$15,001 - $50,000		$201 - $1,000
4.8	Vanguard Total Bond Market Index (VBTIX)	Yes	$1,001 - $15,000		$201 - $1,000
4.9	Vanguard Total Intl Stock Index (VTSNX)	Yes	$1,001 - $15,000		$201 - $1,000
4.10	DFA International Small Cap Value (DISVX)	Yes	$50,001 - $100,000		$2,501 - $5,000
5	University of North Carolina Faculty & Physicians 403b	No			
5.1	Cohen & Steers Realty Shares (CSRSX)	Yes	None (or less than $1,001)		None (or less than $201)
5.2	DFA Emerging Markets Core Equity (DFCEX)	Yes	$50,001 - $100,000		$1,001 - $2,500
5.3	Vanguard 500 Index Admiral (VFIAX)	Yes	$1,001 - $15,000		None (or less than $201)
5.4	Vanguard Extended Market Index Admiral (VEXAX)	Yes	$1,001 - $15,000		None (or less than $201)
5.5	Vanguard Short-Term Bond Index (VBIRX)	Yes	None (or less than $1,001)		None (or less than $201)
5.6	Vanguard Total Bond Market Index Adm (VBTLX)	Yes	$1,001 - $15,000		None (or less than $201)
5.7	Vanguard Total Intl Stock Index Adm (VTIAX)	Yes	$1,001 - $15,000		None (or less than $201)
6	University of North Carolina Faculty & Physicians 457b	No			
6.1	Cohen & Steers Realty Shares (CSRSX)	Yes	$1,001 - $15,000		None (or less than $201)
6.2	Vanguard 500 Index Adm (VFIAX)	Yes	$1,001 - $15,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.3	Vanguard Extended Market Index (VEXAX)	Yes	$1,001 - $15,000		None (or less than $201)
6.4	Vanguard Short-Term Bond Index (VBIRX)	Yes	$1,001 - $15,000		None (or less than $201)
6.5	Vanguard Short-Term Investment Grade (VFSUX)	Yes	$100,001 - $250,000		$2,501 - $5,000
6.6	Vanguard Small Cap Value Index (VSIAX)	Yes	$100,001 - $250,000		$2,501 - $5,000
6.7	Vanguard Total Bond Market Index (VBLTX)	Yes	$1,001 - $15,000		$201 - $1,000
6.8	Vanguard Total International Stock Index (VTIAX)	Yes	$1,001 - $15,000		$201 - $1,000
7	University of North Carolina Optional Retirement Plan	No			
7.1	Cohen & Steers Realty Shares (CSRSX)	Yes	$1,001 - $15,000		None (or less than $201)
7.2	DFA Global Real Estate Securities (DFGEX)	Yes	$1,001 - $15,000		$201 - $1,000
7.3	DFA US Large Cap Value (DFLVX)	Yes	$50,001 - $100,000		$2,501 - $5,000
7.4	Vanguard Extended Market Index InstlPlus (VEMPX)	Yes	$1,001 - $15,000		$201 - $1,000
7.5	Vanguard Institutional Index Instl Pl (VIIIX)	Yes	$100,001 - $250,000		$2,501 - $5,000
7.6	Vanguard Short-Term Bond Index (VBITX)	Yes	$1,001 - $15,000		None (or less than $201)
7.7	Vanguard Total Bond Market Index (VBTIX)	Yes	$1,001 - $15,000		$201 - $1,000
7.8	Vanguard Total Intl Stock Index (VTSNX)	Yes	$1,001 - $15,000		$201 - $1,000

6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Wells Fargo Checking Account		N/A	$15,001 - $50,000		None (or less than $201)
2	Wells Fargo Savings Account		N/A	$15,001 - $50,000		None (or less than $201)
3	EE Bonds		N/A	$15,001 - $50,000		None (or less than $201)
4	529 Account (1)	See Endnote	Yes	$50,001 - $100,000		$2,501 - $5,000
5	529 Account (2)	See Endnote	Yes	$100,001 - $250,000		$2,501 - $5,000
6	Phoenix Life Insurance Plan (Whole)		N/A	$50,001 - $100,000		None (or less than $201)
7	Joint Brokerage: Fidelity Limited Term Municipal Income (FSTFX)		Yes	$1,001 - $15,000		$201 - $1,000
8	Joint Brokerage Account (Fidelity)		No			
8.1	DFA International Core Equity (DFIEX)		Yes	$15,001 - $50,000		$201 - $1,000
8.2	Fidelity 500 Index Premium (FUSVX)		Yes	$50,001 - $100,000		$1,001 - $2,500
8.3	Fidelity Government Cash Reserves (FDRXX)		Yes	$1,001 - $15,000		None (or less than $201)
8.4	Gateway (GTEYX)		Yes	$15,001 - $50,000		$201 - $1,000

7. Transactions

(N/A) - Not required for this type of report

8. Liabilities

None

9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

Endnotes

PART	#	ENDNOTE
Filer's Information	1	Will formally resign upon appointment
1.	7	Compensation to be an advisor to Unity is solely through an option to purchase up to 50,000 shares of their stock. Roughly half of these options are unvested.
1.	9	Associate Editor job for the Journal of Clinical Investigation; Editorial board based at Duke and UNC
1.	13	Will formally resign upon appointment
2.	5	Founder's equity awarded in 2014 when company established; not received as compensation for Board service.
2.	10	Income of $333.33 per month for all of 2016 and first 6 months of 2017
2.	13	Patent Royalty rec'd from UNC for inventorship
2.	14	option for 50,000 shares. 25K of these have vested. Strike price and per share price have not been disclosed

PART	#	ENDNOTE
6.	4	NC 529 plan; Aggressive Track
6.	5	NC 529 plan, Aggressive Track

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than $200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than $1,000 or (2) produced more than $200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is $0 - $200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding $5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than $5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than $1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than $200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than $1,000 or (2) produced more than $200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is $0 - $200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than $1,000 or (2) produced more than $200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of $5,000 or less (unless more than $200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is $0 - $200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of $1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over $10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed $10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than $390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than $390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of $156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).